

## CIVIL COVER SHEET

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

## PLAINTIFFS

U.S. Securities and Exchange Commission

ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)  
Sanjay Wadhwa, Senior Associate Regional Director, U.S. Securities and Exchange Commission, Brookfield Place, 200 Vesey Street, Ste. 400, New York, NY 10281-1022; (212) 336-1100

CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE)  
(DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY)

15 U.S.C. § 78j(b), 17 C.F.R. § 240.10b-5(a) and (c), 15 U.S.C. §§ 80b-6(1), (2), and (4), 17 C.F.R. § 275.206(4)-8(a)(2)

Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time?  Yes  Judge Previously Assigned

If yes, was this case Vol.  Invol.  Dismissed. No  Yes  If yes, give date \_\_\_\_\_ & Case No. \_\_\_\_\_

## IS THIS AN INTERNATIONAL ARBITRATION CASE?

No  Yes 

(PLACE AN [x] IN ONE BOX ONLY)

## NATURE OF SUIT

TORTS				ACTIONS UNDER STATUTES		
CONTRACT	PERSONAL INJURY	PERSONAL INJURY	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES	
<input type="checkbox"/> 110 INSURANCE	<input type="checkbox"/> 310 AIRPLANE	<input type="checkbox"/> 367 HEALTHCARE/	<input type="checkbox"/> 625 DRUG RELATED	<input type="checkbox"/> 422 APPEAL	<input type="checkbox"/> 375 FALSE CLAIMS	
<input type="checkbox"/> 120 MARINE	<input type="checkbox"/> 315 AIRPLANE PRODUCT	<input type="checkbox"/> PHARMACEUTICAL PERSONAL	<input type="checkbox"/> 28 USC 158	<input type="checkbox"/> 28 USC 158	<input type="checkbox"/> 376 QUI TAM	
<input type="checkbox"/> 130 MILLER ACT	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> INJURY/PRODUCT LIABILITY	<input type="checkbox"/> SEIZURE OF PROPERTY	<input type="checkbox"/> 423 WITHDRAWAL	<input type="checkbox"/> 400 STATE	
<input type="checkbox"/> 140 NEGOTIABLE INSTRUMENT	<input type="checkbox"/> 320 ASSAULT, LIBEL & SLANDER	<input type="checkbox"/> 365 PERSONAL INJURY	<input type="checkbox"/> 21 USC 881	<input type="checkbox"/> 28 USC 157	<input type="checkbox"/> REAPPORTIONMENT	
<input type="checkbox"/> 150 RECOVERY OF OVERPAYMENT & ENFORCEMENT OF JUDGMENT	<input type="checkbox"/> 330 FEDERAL EMPLOYERS' LIABILITY	<input type="checkbox"/> 368 ASBESTOS PERSONAL INJURY	<input type="checkbox"/> 690 OTHER	<input type="checkbox"/> PROPERTY RIGHTS	<input type="checkbox"/> 410 ANTITRUST	
<input type="checkbox"/> 151 MEDICARE ACT	<input type="checkbox"/> 345 MARINE PRODUCT LIABILITY	<input type="checkbox"/> PERSONAL PROPERTY		<input type="checkbox"/> 820 COPYRIGHTS	<input type="checkbox"/> 430 BANKS & BANKING	
<input type="checkbox"/> 152 RECOVERY OF DEFECTIVE PRODUCTS	<input type="checkbox"/> 350 MOTOR VEHICLE PRODUCT LIABILITY	<input type="checkbox"/> 370 OTHER FRAUD		<input type="checkbox"/> 830 PATENT	<input type="checkbox"/> 450 COMMERCE	
<input type="checkbox"/> 153 RECOVERY OF STUDENT LOANS (EXCL VETERANS)	<input type="checkbox"/> 355 MOTOR VEHICLE PRODUCT LIABILITY	<input type="checkbox"/> 371 TRUTH IN LENDING		<input type="checkbox"/> 840 TRADEMARK	<input type="checkbox"/> 460 DEPORTATION	
<input type="checkbox"/> 160 STOCKHOLDERS SUITS				<input type="checkbox"/> SOCIAL SECURITY	<input type="checkbox"/> 470 RACKETEER INFLUENCED & CORRUPT ORGANIZATION ACT (RICO)	
<input type="checkbox"/> 190 OTHER CONTRACT					<input type="checkbox"/> 480 CONSUMER CREDIT	
<input type="checkbox"/> 195 CONTRACT PRODUCT LIABILITY					<input type="checkbox"/> 490 CABLE/SATELLITE TV	
<input type="checkbox"/> 196 FRANCHISE					<input type="checkbox"/> 850 SECURITIES/ COMMODITIES/ EXCHANGE	
REAL PROPERTY	ACTIONS UNDER STATUTES	PRISONER PETITIONS	LABOR	<input type="checkbox"/> 861 HIA (1395f)	<input type="checkbox"/> 890 OTHER STATUTORY ACTIONS	
<input type="checkbox"/> 210 LAND CONDEMNATION	<input type="checkbox"/> 441 VOTING	<input type="checkbox"/> 463 ALIEN DETAINEE	<input type="checkbox"/> 862 BLACK LUNG (923)	<input type="checkbox"/> 862 BLACK LUNG (923)	<input type="checkbox"/> 891 AGRICULTURAL ACTS	
<input type="checkbox"/> 220 FORECLOSURE	<input type="checkbox"/> 442 EMPLOYMENT	<input type="checkbox"/> 510 MOTIONS TO VACATE SENTENCE	<input type="checkbox"/> 863 DIVC/DIWW (405(g))	<input type="checkbox"/> 863 DIVC/DIWW (405(g))	<input type="checkbox"/> 893 ENVIRONMENTAL MATTERS	
<input type="checkbox"/> 230 RENT LEASE & EJECTMENT	<input type="checkbox"/> 443 HOUSING/ ACCOMMODATIONS	<input type="checkbox"/> 28 USC 2255	<input type="checkbox"/> 710 FAIR LABOR STANDARDS ACT	<input type="checkbox"/> 864 SSID TITLE XVI	<input type="checkbox"/> 895 FREEDOM OF INFORMATION ACT	
<input type="checkbox"/> 240 TORTS TO LAND	<input type="checkbox"/> 444 AMERICANS WITH DISABILITIES - EMPLOYMENT	<input type="checkbox"/> 530 HABEAS CORPUS	<input type="checkbox"/> 720 LABOR/MGMT RELATIONS	<input type="checkbox"/> 865 RSI (405(g))	<input type="checkbox"/> 896 ARBITRATION	
<input type="checkbox"/> 245 TORT PRODUCT LIABILITY	<input type="checkbox"/> 446 AMERICANS WITH DISABILITIES - OTHER	<input type="checkbox"/> 535 DEATH PENALTY	<input type="checkbox"/> 740 RAILWAY LABOR ACT	<input type="checkbox"/> 870 TAXES (U.S. Plaintiff or Defendant)	<input type="checkbox"/> 899 ADMINISTRATIVE PROCEDURE ACT/REVIEW OR APPEAL OF AGENCY DECISION	
<input type="checkbox"/> 290 ALL OTHER REAL PROPERTY	<input type="checkbox"/> 448 EDUCATION	<input type="checkbox"/> 540 MANDAMUS & OTHER	<input type="checkbox"/> 751 FAMILY MEDICAL LEAVE ACT (FMLA)	<input type="checkbox"/> 871 IRS-THIRD PARTY	<input type="checkbox"/> 900 CONSTITUTIONALITY OF STATE STATUTES	
			<input type="checkbox"/> 550 CIVIL RIGHTS	<input type="checkbox"/> 26 USC 7609	<input type="checkbox"/> 950 CONSTITUTIONALITY OF STATE STATUTES	
			<input type="checkbox"/> 555 PRISON CONDITION	<input type="checkbox"/> 465 OTHER IMMIGRATION ACTIONS		
			<input type="checkbox"/> 560 CIVIL DETAINEE	<input type="checkbox"/> CONDITIONS OF CONFINEMENT		

Check if demanded in complaint:

CHECK IF THIS IS A CLASS ACTION  
UNDER F.R.C.P. 23

DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y.?  
IF SO, STATE: \_\_\_\_\_

DEMAND \$ \_\_\_\_\_ OTHER \_\_\_\_\_ JUDGE \_\_\_\_\_ DOCKET NUMBER \_\_\_\_\_

Check YES only if demanded in complaint  
JURY DEMAND:  YES  NO

NOTE: You must also submit at the time of filing the Statement of Relatedness form (Form IH-32).

(PLACE AN x IN ONE BOX ONLY)

<input checked="" type="checkbox"/> 1 Original Proceeding	<input type="checkbox"/> 2 Removed from State Court	<input type="checkbox"/> 3 Remanded from Appellate Court	<input type="checkbox"/> 4 Reinstated or Reopened	<input type="checkbox"/> 5 Transferred from (Specify District)	<input type="checkbox"/> 6 Multidistrict Litigation	<input type="checkbox"/> 7 Appeal to District Judge from Magistrate Judge Judgment
<input type="checkbox"/> a. all parties represented						
<input type="checkbox"/> b. At least one party is pro se.						

(PLACE AN x IN ONE BOX ONLY)

<input checked="" type="checkbox"/> 1 U.S. PLAINTIFF	<input type="checkbox"/> 2 U.S. DEFENDANT	<input type="checkbox"/> 3 FEDERAL QUESTION (U.S. NOT A PARTY)	<input type="checkbox"/> 4 DIVERSITY
--	---	--	--------------------------------------

**IF DIVERSITY, INDICATE CITIZENSHIP BELOW.****CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)**

(Place an [X] in one box for Plaintiff and one box for Defendant)

CITIZEN OF THIS STATE	PTF [ ] 1	DEF [ ] 1	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY	PTF DEF [ ] 3 [ ] 3	INCORPORATED and PRINCIPAL PLACE OF BUSINESS IN ANOTHER STATE	PTF [ ] 5	DEF [ ] 5
CITIZEN OF ANOTHER STATE	[ ] 2	[ ] 2	INCORPORATED or PRINCIPAL PLACE OF BUSINESS IN THIS STATE	[ ] 4 [ ] 4	FOREIGN NATION	[ ] 6	[ ] 6

**PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)**

Sanjay Wadhwa, Senior Associate Regional Director, U.S. Securities and Exchange Commission, Brookfield Place, 200 Vesey Street, Ste. 400, New York, NY 10281-1022; New York County

**DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)**

Christopher Plaford, 2 Lake View Lane, Bedford, NY 10506; Westchester County

**DEFENDANT(S) ADDRESS UNKNOWN**

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN THE RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

Check one: THIS ACTION SHOULD BE ASSIGNED TO:  WHITE PLAINS  MANHATTAN

(DO NOT check either box if this a PRISONER PETITION/PRISONER CIVIL RIGHTS COMPLAINT.)

DATE 6/15/2016 SIGNATURE OF ATTORNEY OF RECORD

ADMITTED TO PRACTICE IN THIS DISTRICT

[ ] NO  
 YES (DATE ADMITTED Mo. Nov. Yr. 2005)  
 Attorney Bar Code #SW2457

RECEIPT #

Magistrate Judge is to be designated by the Clerk of the Court.

Magistrate Judge \_\_\_\_\_ is so Designated.

Ruby J. Krajick, Clerk of Court by \_\_\_\_\_ Deputy Clerk, DATED \_\_\_\_\_

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)